

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of : THE COMMISSIONER IS AUTHORIZED  
Shogo MATSUBARA et al. : TO CHARGE ANY DEFICIENCY IN THE  
Serial No. NEW : FEES FOR THIS PAPER TO DEPOSIT  
Filed March 31, 2004 : ACCOUNT NO. 23-0975  
: **Attn: APPLICATION BRANCH**  
: Attorney Docket No. 2004\_0513A

FILM BULK ACOUSTIC RESONATOR AND  
FILM BULK ACOUSTIC RESONATOR CIRCUIT

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**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Pursuant to the provisions of 37 C.F.R. 1.56, 1.97 and 1.98, Applicants request consideration of the references listed on the attached Form PTO-1449. A legible copy of each reference listed on the Form PTO-1449 is enclosed, except a copy is not provided for each U.S. Patent and U.S. Patent application publication (*for U.S. National applications filed after June 30, 2003 and International applications that have entered U.S. National Stage after June 30, 2003*).

1a. ☒ This Information Disclosure Statement is submitted:

within three months of the filing date (or of entry into the National Stage) of the above-entitled application, **or**

before the mailing date of the first Office Action on the merits,

**and thus no certification and/or fee is required.**

1b. ☐ This Information Disclosure Statement is submitted

after the events of above paragraph 1a and prior to the mailing date of a final Office Action or a Notice of Allowance or an action which otherwise closes prosecution in the application, and thus:

(1) ☐ the certification of paragraph 2 below is provided, **or**

(2) ☐ the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

1c. ☐ This Information Disclosure Statement is submitted:

after the mailing date of a final Office Action or Notice of Allowance or action which otherwise closes prosecution in the application, and prior to payment of the issue fee, and thus:

**the certification of paragraph 2 below is provided, and**

**the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.**

2. It is hereby certified

a. ☐ that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Statement, or

b. ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the Statement.

3. ☐ Consideration of the following list of additional information (including any copending or abandoned U.S. application, prior uses and/or sales, etc.) is requested.

4. For each non-English language reference listed on the attached form PTO-1449, reference is made to:

a. ☐ a full or partial English language translation submitted herewith,

- b. ☐ a foreign patent office search report (in the English language) submitted herewith,
- c. ☒ the concise explanation contained in the specification of the present application at pages 2 and 4-5,
- d. ☐ the concise explanation set forth in the attached English language abstract,
- e. ☒ the concise explanation set forth below or on a separate sheet attached to the reference:

**U.S. Patent No. 6,420,202 and U.S. Patent Publication Application No. 2002/022292 corresponds to JP 2002-043879;**

**U.S. Patent No. 6,262,637 corresponds to JP 2001-024476; and**

**U.S. Patent Publication Application No. 2002/030424 corresponds to JP 2001-244778.**

5. ☐ A foreign patent office search report citing one or more of the references is enclosed.

Respectfully submitted,

Shogo MATSUBARA et al.

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March 31, 2004

FORM PTO 1449 (modified)

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICELIST OF REFERENCES CITED BY APPLICANT(S)  
(Use several sheets if necessary)

Date Submitted to PTO: March 31, 2004

ATTY DOCKET NO.  
2004\_0513ASERIAL NO.  
NEWAPPLICANT  
Shogo MATSUBARA et al.FILING DATE  
March 31, 2004

GROUP

## U.S. PATENT DOCUMENTS

| *EXAMINER<br>INITIAL |    | DOCUMENT<br>NUMBER | DATE   | NAME           | CLASS | SUBCLASS | FILING DATE IF<br>APPROPRIATE |
|----------------------|----|--------------------|--------|----------------|-------|----------|-------------------------------|
|                      | AA | 2002/0030424       | 3/2002 | Iwata          |       |          |                               |
|                      | AB | 6,262,637          | 7/2001 | Bradley et al. |       |          |                               |
|                      | AC | 6,420,202          | 7/2002 | Barber et al.  |       |          |                               |
|                      | AD | 2002/0022292       | 2/2002 | Barber et al.  |       |          |                               |
|                      | AE |                    |        |                |       |          |                               |
|                      | AF |                    |        |                |       |          |                               |
|                      | AG |                    |        |                |       |          |                               |
|                      | AH |                    |        |                |       |          |                               |
|                      | AI |                    |        |                |       |          |                               |

## FOREIGN PATENT DOCUMENTS

|  |    | DOCUMENT<br>NUMBER | DATE   | COUNTRY | CLASS | SUBCLASS | TRANSLATION<br>YES NO |  |
|--|----|--------------------|--------|---------|-------|----------|-----------------------|--|
|  | AJ | 2001-244778        | 9/2001 | JP      |       |          |                       |  |
|  | AK | 2001-24476         | 1/2001 | JP      |       |          |                       |  |
|  | AL | 2002-43879         | 2/2002 | JP      |       |          |                       |  |
|  | AM |                    |        |         |       |          |                       |  |
|  | AN |                    |        |         |       |          |                       |  |

## OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

|  |    |  |
|--|----|--|
|  | AO |  |
|  | AP |  |
|  | AQ |  |

EXAMINER

DATE CONSIDERED